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PTO/SB/05 (11-00)

Approved for use through 10/31/2002 OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	17243-00020
First Inventor	Preston H. Abbott
Title	METHODS AND SYSTEMS FOR FINANCING AND EXECUTING TRANSACTIONS
Express Mail Label No.	EL319733425US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)  
Application claims small entity status.  
See 37 CFR 1.27
2. ☐ Specification [Total Pages 13]  
(Preferred arrangement set forth below)
- Descriptive title of the Invention
  - Cross References to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 USC 113) [Total Sheets 2]
5. Oath or Declaration [Total Pages 4]
- a. ☒ Newly executed (original or copy)
- b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)
- i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (If applicable, all necessary)

- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies); or
  - ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement (when there is an assignee) ☒ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(If foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Certificate of Express Mailing.....

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.:           

Prior application information:

Examiner:           Group/Art Unit           

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label (Insert Custom No. or Attach bar code label here) ☒ Correspondence address below

Name	John S. Beulick				
	Armstrong Teasdale LLP				
Address	One Metropolitan Sq., Suite 2600				
City	St. Louis	State	Missouri	Zip Code	63102
Country	US	Telephone	(314) 621-5070	Fax	(314) 621-5065

Name (Print/Type)	Robert E. Slenker	Registration No. (Attorney/Agent)	45,112
Signature	<i>Robert E. Slenker</i>	Date	24 Jan 2001

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PTO

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

## Complete If Known

Application Number	
Filing Date	
First Named Inventor	Preston H. Abbot
Group Art Unit	
Examiner Name	
Attorney Docket Number	17243-00020

TOTAL AMOUNT OF PAYMENT (\$1232.00)

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number 01-2384

Deposit Account Name

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17  
☐ Applicant claims small entity status. See 37 CFR 1.16 and 1.17

2. ☐ Payment Enclosed:

☐ Check ☐ Credit Card ☐ Money Order ☐ Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility Filing Fee	710.00
106	320	206	160	Design Filing Fee	
107	490	207	245	Plant Filing Fee	
108	710	208	355	Reissue filing Fee	
114	150	214	75	Provisional Filing Fee	
SUBTOTAL (1)					710.00

## 2. EXTRA CLAIM FEES

		Extra Claims	Fee From Below	Fee Paid
Total Claims	49	-20**	29	x 18.00 = 522.00
Independent Claims	2	-3*	0	x 80.00 = 0
Multiple Dependent				x = 0

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	270	204	135	Multiple dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)				522.00
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\*\*or number previously paid, if greater. For Reissues, see above

## FEE CALCULATION (continued)

3	Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65		Surcharge - late filing fee or oath	
127	50	227	25		Surcharge-late provisional filing fee or cover sheet	
139	130	139	130		Non-English specification	
147	2520	147	2520		For filing a request for <i>ex parte</i> reexamination	
112	920*	112	920*		Requesting publication of SIR prior to Examiner action	
113	1840*	113	1840*		Requesting publication of SIR after Examiner action	
115	110	215	55		Extension for reply within first month	
116	390	216	195		Extension for reply within second month	
117	890	217	445		Extension for reply within third month	
118	1390	218	695		Extension for reply within fourth month	
128	1890	228	945		Extension for reply within fifth month	
119	310	219	155		Notice of Appeal	
120	310	220	155		Filing a brief in support of an appeal	
121	270	221	135		Request for oral hearing	
138	1510	138	1510		Petition to institute a public use proceeding	
140	110	240	55		Petition to revive - unavoidable	
141	1240	241	620		Petition to revive - unintentional	
142	1240	242	620		Utility issue fee (or reissue)	
143	440	243	220		Design issue fee	
144	600	244	300		Plant issue fee	
122	130	122	130		Petitions to the Commissioner	
123	50	123	50		Petitions related to provisional applications	
126	180	126	180		Submission of Information Disclosure Sheet	
581	40	581	40		Recording each patent assignment per property (times number of properties)	
146	710	246	355		Filing a submission after a final rejection (37-CFR 1.129(a))	
149	710	249	355		For each additional invention to be examined (37 CFR 1.125(b))	
179	710	279	355		Request for Continued Examination (RCE)	
169	900	169	900		Request for expedited examination of a design application	
Other fee (specify)						
*Reduced by Basic Filing Fee Paid SUBTOTAL (3)						

## SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Robert E. Stenker	Registration No. (Attorney/Agent)	45,112	Telephone	(314) 621-5070
Signature	<i>Robert E. Stenker</i>	Date	24 JAN 2001		

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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CERTIFICATE OF MAILING BY EXPRESS MAIL TO  
THE COMMISSIONER OF PATENTS AND TRADEMARKS

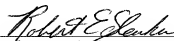
Express Mail mailing label number: **EL319733425US**

Date of Mailing: **January 24, 2001**

I certify that the attached patent application of **PRESTON H. ABBOTT** and **JOSEPH W. KRUM** which claims the benefit of U.S. Provisional Application No. 60/178,090, filed January 26, 2000 for **METHODS AND SYSTEMS FOR FINANCING AND EXECUTING TRANSACTIONS**, including:

- Certificate of Mailing Via Express Mail (1 page)
- Utility Patent Application Transmittal (1 page)
- Fee Transmittal (in duplicate) (1 page)
- Declaration and Power of Attorney for Preston H. Abbott (2 pgs.)
- Declaration and Power of Attorney for Joseph W. Krum (2 pgs)
- Five (5) pages of specification; six (7) pages of claims; one (1) page of abstract
- Two (2) sheets of drawings
- Return post card

is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above in an envelope addressed to the Assistant Commissioner for Patents, Box PATENT APPLICATION, Washington, D.C. 20231.

  
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